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Inventor(s): Eugene M. Lee
Title: SYSTEMS AND METHODS FOR PREPARATION OF AN
INTELLECTUAL PROPERTY FILING IN ACCORDANCE WITH
JURISDICTION- AND/OR AGENT-SPECIFIC REQUIREMENTS

Enclosed are:

- 32 Pages of Specification (including Written Description, Claims and Abstract)
3 Sheets of Drawings, ☐ Formal / ☒ Informal
☒ Declaration for Patent Application (2 pages), ☐ Executed / ☒ Unexecuted
☐ Assignment of the Invention (____ pages, including Cover Sheet)
☐ Information Disclosure Statement (____ pages)
☐ with Form(s) PTO 1449 (____ page(s)) and copies of ____ reference(s)
☐ Other:
☒ This Transmittal Letter (in duplicate) ☒ Return Postcard

CLAIMS AS FILED

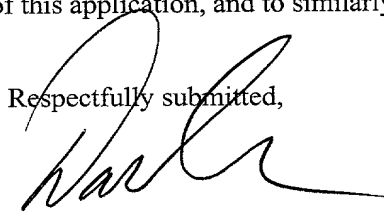
	Number Filed	Number Extra	Rate	Fee
Basic Fee =				760.00
Total Claims	56 - 20	= 36	x \$18.00 =	648.00
Independent Claims	11 - 3	= 8	x \$78.00 =	624.00
Multiple Dependent Claims (if any) - \$260.00 fee				0.00
Other: N/A				0.00
TOTAL FILING FEE				\$2,032.00

- ☐ A check is enclosed for the Total Filing Fee shown above.
☒ The Total Filing Fee is NOT enclosed at this time.
☐ Please charge the Total Filing Fee shown above to Deposit Account ____.
☐ The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. § 1.16 or 1.17 that may be required during the pendency of this application, and to similarly credit any overpayment, to Deposit Account ____.

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SYSTEMS AND METHODS FOR PREPARATION OF AN INTELLECTUAL PROPERTY FILING IN ACCORDANCE WITH JURISDICTION- AND/OR AGENT-SPECIFIC REQUIREMENTS

Eugene M. Lee

5 **BACKGROUND OF THE INVENTION**

Field of the Invention

The invention relates generally to information system transactions and, more particularly, to systems and methods for preparing intellectual property filings in accordance with jurisdiction- and/or agent-specific requirements.

10 **Description of the Related Art**

In an increasingly interrelated world economy, many intellectual property owners seek protection for their intellectual property assets (e.g., as patents, trademarks, copyrights, designs, etc.) in multiple jurisdictions. For example, patent and trademark applications are routinely filed to secure protection of an invention or mark in multiple nations and/or regions. Often, corresponding applications are filed in, or designate, respective jurisdictions. Each application exhibits comparatively minor variations tracing to national, regional or convention requirements and preferences of associated counsel.

Unfortunately, intellectual property filings are initiated, prepared and filed in relatively crude fashion considering the advanced technologies that are the focus of many intellectual property practices. For example, preparation of documents for filing is typically a manual process in most law firms. Even for filings corresponding to a priority filing (e.g., of a PCT international application corresponding to a priority national filing), preparation of documents is typically a manual process. The volume of documents and correspondence can require the attention of many paralegals. As with most manual processes, mistakes, delays and inefficiencies may be introduced.

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5 A common approach for securing international protection for patent and
design intellectual property is to prepare and file a priority application to secure a
priority date under various international conventions or treaties. Usually, such a
priority application is filed in a home country although the priority application may, in
10 some circumstances, be filed elsewhere (typically, in the United States or under an
convention in a competent receiving office such as the International Bureau (IB) of
the World Intellectual Property Organization (WIPO)). Thereafter, and within the
appropriate convention period, multiple national filings must be made, claiming
priority of the priority application. International filing conventions such as provided
15 under the Patent Cooperation Treaty (PCT) or by the European Patent Convention
(EPC) help to defer an eventual multiplicity of national filings; however, eventually
multiple national filings are typically required.

20 Because of legal requirements for obtaining priority, the substance of national
and international patent and design filings is typically identical to, or substantially
equivalent to the disclosure of the priority applications upon which they are based.
Filing papers and formal requirements may vary substantially, however. Accordingly,
the act of filing an international, regional or national intellectual property application
is typically dominated by logistical challenges such as proper formatting of an
application, preparation of filing papers required by a national or regional intellectual
25 property office, legalization of documents in accordance with national requirements,
translation requirements, establishment of authority or agency in accordance with
national requirements, and fee calculation and transaction issues. These complexities
can be exacerbated by the differing procedures and requirements of various foreign
associates (e.g., attorneys or agents authorized to practice in a given jurisdiction) with
whom a managing attorney or intellectual property owner corresponds.

Trademark applications are similarly filed on a country-by-country basis or
under a convention such as the Madrid Protocol. Multiple national filings are
frequently made within a priority period, with subsequent filings in other countries.

30 In short, foreign filing departments of law firms and intellectual property
owners are faced with a landscape of national requirements-based and foreign
associate-based variations in formal or procedural requirements. In some cases,
because of the timing of foreign filing decisions in relation to deadlines or

determinations of rights, mistakes can be incurable and result in a loss of rights. Also, because of the sheer number of potential combinations, mistakes are easy to make. Furthermore, the effort necessary to maintain up-to-date forms and procedures can be substantial, particularly for multiple jurisdictions and with multiple foreign associates.

5 In part because of these logistical challenges, foreign filing decisions are not often made with particularity. Instead, standard selections of jurisdictions and foreign associates are routinized. Typically, such standard selections are followed with little, if any, consideration for the particulars of the intellectual property, the strengths (and weaknesses) of a particular foreign associate, matter specific implications of fee structures of standard jurisdictions and foreign associate selections, etc. What is
10 needed are tools that facilitate IP portfolio exploitation by empowering decision makers to make and execute particularized filing decisions and thereby better optimize filing strategies.

One major need is for facilities to streamline filing of corresponding
15 applications in multiple jurisdictions using multiple associates while automating the preparation of filings in accordance with jurisdiction- and/or associate-specific requirements and/or procedures. Another need is for facilities that allow fee transactions to be exactly quoted and executed in accordance with particulars of an intellectual property filing and in accordance with fee structures of jurisdictions and
20 foreign associates.

Although these goals are yet to be realized, some useful software tools are beginning to reach the marketplace. For example, EP-EASY (Electronic Application SYstem) software available from the European Patent Office (EPO) enables applicants and their representatives to prepare and submit European patent
25 applications in electronic form by creating an EP-EASY submission diskette. According to the EPO, future versions of the EP-EASY software will provide for the on-line filing of European patent applications; however, no on-line filing is currently provided.

A user of the EP-EASY software enters data into the interactive counterpart of
30 the paper "Request for Grant" form (EPO Form 1001). The user may then "attach" technical documents, i.e., the description, the claims, the abstract and any drawings

referred to in the description or claims, which have been independently prepared using an off-the-shelf word-processor and stored in a electronic format such as Portable Document Format (PDF), Rich Text Format (RTF) or ASCII text. The EP-EASY software copies these files to the EP-EASY submission diskette together with the files automatically generated by the EP-EASY software and creates a print-out of the EPO Form 1001E and attached files for filing with the submission diskette.

PCT-EASY (Electronic Application SYstem) software available from the World Intellectual Property Organization (WIPO) is similar and is designed to facilitate the preparation of PCT international applications in electronic form and according to WIPO, ultimately, facilitate the transfer of such applications by electronic means. However, at present, the PCT-EASY software is limited to (1) a Request form module providing for the input and validation of Request form data and the attachment of the abstract in electronic form, (2) printout of a PCT computer generated Request form, which replaces the existing PCT/RO/101 form for the purposes of a PCT-EASY filing, and (3) facilities for copying the PCT-EASY Request form data file and attached abstract to diskette for submission with the complete paper filing.

With regard to trademark applications, the United States Patent and Trademark Office (USPTO) has recently implemented electronic filing of trademark applications. The internet implementation of the Trademark Electronic Application Systems (e-TEAS) provides a HyperText Markup Language (HTML) form based interface to a USPTO trademark application form and allows direct electronic submission of a completed form to the USPTO.

SUMMARY OF THE INVENTION

Recognizing the limitations of currently available systems, a facility has been developed whereby an applicant (or his representative) may file corresponding applications in multiple jurisdictions using multiple associates while automating the preparation of filings in accordance with jurisdiction- and/or associate-specific requirements and/or procedures. An intellectual property filing portal or hub is employed, which in some realizations is hosted on a public, packet switched data network and communicates with both applicants (or representatives) and associates.

In some realizations, the intellectual property filing portal facilitates selection, by applicants (or representatives) of particular jurisdictions and associates based at least in part on fee quotations made in accordance with particulars of an intellectual property filing and in accordance with fee structures of the particular jurisdictions and foreign associates. In addition, some realizations of the intellectual property filing portal facilitate registration of associate- and jurisdiction-specific form documents and fee schedules for at least partially automated preparation of formal documents.

In one embodiment in accordance with the present invention, an information system for transacting an intellectual property filing with plural targets includes a network and an intellectual property filing portal. The network includes an originating node and plural target nodes. The target nodes correspond to associates licensed or otherwise authorized to make intellectual property filings in one or more target jurisdictions. The intellectual property filing portal is coupled by the network to the originating and target nodes and is responsive to a selection at the originating node of at least one target jurisdiction and associate for the intellectual property filing, supplying the originating node with particularized requirements of the selected at least one target jurisdiction and associate. The intellectual property filing portal is further responsive to receipt via the network of one or more intellectual property filings prepared in accordance with the particularized requirements of the selected target jurisdictions and associates, supplying corresponding of the target nodes with respective portions of the received intellectual property filings for filing by respective of the selected associates in respective of the selected target jurisdictions.

In another embodiment in accordance with the present invention, a method of operating an intellectual property filing portal includes servicing intellectual property filing transactions using a network accessible information service, supplying the user, via the network, with a computer readable encoding of one or more form documents, and receiving from the user, via the network, at least a portion of a set of filing documents, and forwarding same to the selected associate for filing in the selected target jurisdiction. The supplying of a computer readable encoding of one or more form documents is responsive to a selection by a user of a target jurisdiction and associate and the form documents are specific to the target jurisdiction and associate. In one variation, the method includes registering associates for the making of

intellectual property filings in respective target jurisdictions. The registering including updating a data store with computer readable encodings of form documents particular to an associate and one or more target jurisdictions.

In yet another embodiment in accordance with the present invention, a method
 5 of operating a one-stop intellectual property filing service includes servicing selections of two or more target jurisdictions and corresponding associates for an intellectual property filing; in response to the selections, supplying target jurisdiction and associate-specific documents for completion; receiving the completed target jurisdiction and associate-specific documents and technical documents; and
 10 forwarding the technical documents, together with respective of the target jurisdiction and associate-specific documents, to each of the selected associates for filing in respective of the selected target jurisdictions.

In still yet another embodiment in accordance with the present invention, a computer implemented method for initiating filing of one or more intellectual
 15 property related documents includes selecting one or more target jurisdictions from amongst a set of supported jurisdictions and for each selected target jurisdiction, obtaining a computer readable encoding of one or more form documents and supplying at least a portion of a set of filing documents, for transfer to the respective associate for filing in the selected target jurisdiction. The form documents are
 20 specific to the target jurisdiction and to a respective associate therefor.

In still yet another embodiment in accordance with the present invention, a computer implemented method for initiating filing of one or more intellectual property related documents includes selecting one or more target jurisdictions from amongst a set of supported jurisdictions and for at least one selected target
 25 jurisdiction, selecting from amongst one or more attorneys or agents available therefor. For each selected target jurisdiction, the method further includes transforming a computer readable encoding of intellectual property application data to a format consistent with requirements of the selected target jurisdiction and electronically transmitting the transformed computer readable encoding to an attorney
 30 or agent for filing in the selected target jurisdiction.

In still yet another embodiment in accordance with the present invention, a computer implemented method of preparing one or more intellectual property filings includes receiving a selection of one or more target jurisdictions from an originating computer system, supplying, responsive to the selection, the originating computer system with a computer readable encoding of filing requirements for the selected target jurisdictions and receiving in computer readable form, at least one document prepared at the originating computer system in accordance with the computer readable encoding of filing requirements.

In still yet another embodiment in accordance with the present invention, an information system for preparing intellectual property filings for at least one target in accordance with requirements therefor includes a selection facility by which a user thereof selects the at least one target; a retrieval interface to intellectual property application data stored; a retrieval interface to target requirement data; and a filing preparation facility. The filing preparation facility is responsive to the selection facility to, for each target selected by the user, transform the intellectual property application data into a target-specific intellectual property application filing format in accordance with the target requirement data and prepare at least one additional document in accordance with the intellectual property application and target requirement data. In one variation, the information system is embodied as a client application executable on a originating computer implementing the selection facility, the retrieval interface to intellectual property application data, the retrieval interface to target requirement data, and the translation facility and including a communications interface to a server application. At least the target requirement data is hosted by the server application.

In still yet another embodiment in accordance with the present invention, a computer program product is encoded in a computer readable medium. The computer program product includes selection code, retrieval code, document preparation code and filing initiation code. The selection code is executable to select one or more target jurisdictions and respective associates from amongst a set of target jurisdictions and associates therefor. The retrieval code is executable to retrieve, in accordance with the selection, a computer readable encoding of target jurisdiction- and associate-specific filing requirements. The document preparation code is executable to prepare

one or more target jurisdiction- and associate-specific documents in accordance with the retrieved requirements. The filing initiation code is executable to transmit the prepared documents for filing by the selected one or more associates in the selected one or more target jurisdictions.

5 In still yet another embodiment in accordance with the present invention, a method of making a computer readable encoding of one or more target jurisdiction- and associate-specific form documents includes maintaining a data store of target jurisdiction- and associate-specific form documents for transacting an intellectual property filing in the target jurisdictions using respective of the associates; encoding,
10 based on contents of the data store, an enumeration, for transmission to a computer, of at least a subset of the target jurisdictions and respective of the associates therefor; receiving a selection of one or more of the target jurisdictions and respective associates; retrieving, based on the selection, corresponding of the target jurisdiction- and associate-specific form documents; and encoding as a response to the selection
15 for transmission to the computer, the retrieved target jurisdiction- and associate-specific form documents.

In still yet another embodiment in accordance with the present invention, an intellectual property filing preparation system includes means for selecting one or more target jurisdictions and respective associates; means for obtaining form
20 documents specific to each selected target jurisdiction and associate; means for completing the obtained form documents in accordance with matter specific data; and means for transmitting a technical document and respective of the completed form documents for filing by the selected associates.

BRIEF DESCRIPTION OF THE DRAWINGS

25 The present invention may be better understood, and its numerous objects, features, and advantages made apparent to those skilled in the art by referencing the accompanying drawings.

FIG. 1 is a block diagram depicting functional relationships between originating filers, an intellectual property filing portal, associates (including foreign

attorneys and agents) and various patent-oriented intellectual property offices in accordance with an exemplary foreign-filing embodiment of the present invention.

FIG. 2 depicts information flows between an originating computer system configuration, an intellectual property filing portal, associates (including foreign attorneys and agents) and various patent-oriented intellectual property offices in accordance with an exemplary embodiment of the present invention.

FIG. 3 is a flow chart illustrating a control and data flows within and between an originating information system and an intellectual property filing portal in accordance with an exemplary interaction between the originating information system and the intellectual property filing portal.

The use of the same reference symbols in different drawings indicates similar or identical items.

DESCRIPTION OF THE PREFERRED EMBODIMENT(S)

The invention is described herein with respect to various illustrative embodiments and implementation environments. Nonetheless, based on the description, persons of ordinary skill in the art will appreciate implementations suitable for other environments. The scope of the invention, as defined by the claims that follow, is not limited to any specific implementation environment.

FIG. 1 depicts an exemplary patent-oriented configuration of an international filing network in accordance with an exemplary embodiment of the present invention. Intellectual property filing portal **110** provides a central hub for facilitating filing transactions by associates (e.g., foreign associates and agents) in various patent-oriented intellectual property offices on behalf of originating filers (e.g., law firms, corporate patent departments and, in some configurations, applicants themselves). In general, associates (e.g., foreign associates and agents) register with intellectual property filing portal **110** to offer to originating filers (e.g., law firms and corporate patent departments) the service of filing counterpart foreign applications in respective jurisdictions where they are licensed or otherwise authorized to represent applicants. In an exemplary realization in accordance with **FIG. 1**, intellectual property filing portal **110** is hosted as a network accessible information service intermediary between

computer systems of originating filers (e.g., originating filer systems **121**, **122** and **123**) and computer systems of service providing associates (e.g., associate systems **131**, **132** and **133**).

Originating filers select from amongst the target jurisdictions supported and
 5 from amongst associates offering filing services therein. Once target jurisdictions and
 associates are selected by an originating filer, transactions between the originating
 filer and its selected associates are performed largely electronically, via intellectual
 property filing portal **110**. As will be described in greater detail below, intellectual
 property filing portal **110** supplies transaction specific fee information, target
 10 jurisdiction- and associate-specific form documents and, in some configurations,
 target jurisdiction filing requirements to originating filers. In some configurations,
 detailed instructions for completion of form documents and/or legalization of
 documents are also provided. Originating filers complete target jurisdiction- and
 associate-specific form documents and return them together with technical documents
 15 (e.g., the specification, claims and abstract of a patent application) for transmission to
 the corresponding selected associates for filing in selected target jurisdiction.

In some configurations, originating filer systems **121**, **122** and/or **123** may
 retrieve matter specific information, technical documents, etc. in computer readable
 form from data stores (e.g., data stores **124**, **125** and/or **126**) to at least partially
 20 complete a set of filing documents. In general, such information and documents may
 be retrieved from local and/or remote stores, network information services, file
 servers, and/or applications with callable interfaces such as database management
 systems, docket systems, document management systems, etc. In addition, in some
 configurations (not specifically shown), at least some of such information and
 25 documents may be stored by intellectual property filing portal **110**. For example, in
 one implementation, intellectual property filing portal **110** is integrated with a docket
 system and target jurisdiction- and associate-specific form documents are supplied
 already populated with matter specific information.

In the configuration of **FIG. 1**, using software executing on originating filer
 30 systems **121**, **122** and/or **123**, matter specific information and technical documents
 can be automatically retrieved from data stores to populate the target jurisdiction- and
 associate-specific form documents with matter-specific information and technical

documents can be automatically formatted in accordance with jurisdiction-specific formal requirements supplied by intellectual property filing portal 110. In this way, a complete set of documents is prepared for each selected target jurisdiction including associate-specific filing papers, powers of attorney, authorizations, etc. Depending on

5 the requirements of a particular selected jurisdiction, signature documents may be printed, signed, scanned and forwarded electronically (e.g., as a file transferred over the internet) with a complete set of filing documents. Alternatively, original signature documents may be printed, signed and physically delivered if necessary. In typical configurations, at least a portion of the set of filing documents is forwarded

10 electronically by intellectual property filing portal 110 to information systems of the selected associates (e.g., associate systems 131, 132, 133 and/or 134). In some configurations, filing directly with an intellectual property office, e.g., with a competent receiving office under the Patent Cooperation Treaty, is provided when an associate/agent is either not required under applicable regulations or when an attorney

15 or agent of the originating filer may himself or herself act as the agent for such a filing.

In an exemplary configuration, intellectual property filing portal 110 includes a network information service component, e.g., a web server, coupled via a communication network, e.g., the internet, to client applications, e.g., web browsers,

20 of originating filers. Such client applications executing on originating filer systems 121, 122 and 123 typically communicate with intellectual property filing portal 110 over public data networks such as the internet using industry standard protocols, preferably using privacy enhanced protocols such as Secure Sockets Layer (SSL), HTTPS or with Virtual Private Networking (VPN); however, in some configurations

25 or for some originating filer systems, dial-up communications, dedicated circuits or even physical transfer of computer readable media may be employed. A web server and browser based interface is presently preferred (1) for ease of use, (2) because information protocols, user interface techniques and information security implementations are mature and widely available for implementation of systems in

30 accordance with the present invention, and (3) because of the increasingly ubiquitous nature of browser technology. However, other application interfaces, including custom interfaces, are also suitable. Based on the description herein, persons of

ordinary skill in the art will appreciate suitable implementations using browser and non-browser based application platforms.

In addition, although some aspects of some configurations of intellectual property filing portal **110** are described herein in the context of a traditional client/server configuration, other realizations need not employ a client/server paradigm. Indeed, portions of the functionality described herein with reference to intellectual property filing portal **110** may be replicated and provided at originating filer systems **121**, **122** and **123**. For example, in one realization in accordance with some embodiments of the present invention, target jurisdiction- and associate specific form documents, fee schedules, requirements, etc. may be distributed to originating filer system installations. Distribution of such documents, schedules, requirements, etc. may be by periodic delivery of computer readable media (e.g., CD-ROM, disks, etc.) or through a network update facility. Alternatively, directory information (e.g., for associates and target jurisdictions for which the associates provide filing services) including Universal Resource Locators (URLs) and access credentials may be distributed to originating filer system installations and documents, schedules, requirements, etc. may be hosted by individual of the associate systems. Furthermore, combinations of the above described approaches may be employed. Based on the description herein, persons of ordinary skill in the art will appreciate suitable implementations for the particular needs of particular originating filer and associate communities.

In addition to the originating filer portion of an international filing network, **FIG. 1** illustrates an exemplary associate and target jurisdiction portion thereof. For clarity of illustration and description, only a small number of associates and regional and national patent offices (e.g., United Kingdom Patent Office **151**, European Patent Office **141**, German Patent Office **152**, Japanese Patent Office **153** and United States Patent and Trademark Office acting as the Receiving Office **142** under the Patent Cooperation Treaty for the United States) are represented. However, based on the description herein, persons of ordinary skill in the art will appreciate the advantages of much larger international filing networks, including at least one associate for each significant target jurisdiction and including larger numbers of associates for most target jurisdictions.

In general, an associate prepares filing papers (typically as form documents) and/or instructions for each of the jurisdictions for which it offers filing services. Form documents may be specific to the target jurisdiction, the associate or both. In addition, an associate typically supplies formal requirements (e.g., required document
5 format, languages, applicant restrictions, etc.) for the target jurisdictions in which it offers its filing services and supplies fee schedule information including both its own fees and those applicable to the target jurisdictions. Preferably, target- and associate-specific requirements, including form documents, formal requirements and fee schedules are supplied in computer readable form by information systems of the
10 respective associates to intellectual property filing portal **110** and maintained by the respective associates via a network. When a network communications interface is available, intellectual property filing portal **110** may forward at least a portion of the set of filing documents received from an originating filer system to the corresponding selected associate. However, where necessary, such requirements, form documents
15 and fee schedules can be supplied in computer readable form by disk or other transfer mechanism or entered into data stores accessible to intellectual property filing portal **110** based on written materials received from the associate.

As illustrated in **FIG. 1**, a particular associate and hence a networked information server for such an associate (see e.g., associate system **132**) may service
20 filings for more than one target jurisdiction. Similarly, more than one associate and hence more than one networked information server may service a given target jurisdiction. For example, in the illustration of **FIG. 1**, associate system **132** offers filing services for the United Kingdom through UKPO **151** and for European Patent Convention filings through EPO **141**. In contrast, associate **131** offers filing services
25 only for the United Kingdom.

Typically, a law firm will have the option of interacting with intellectual property filing portal **110** both as an originating filer and as an associate. For example, the information systems **131** of an illustrated UK associate services filings into United Kingdom Patent Office **151** but also interacts with intellectual property
30 filing portal **110** as an originating filer to allow filings via intellectual property filing portal **110** as described above (e.g., in German Patent Office **152** via information systems **133** of the illustrated German associate). Accordingly, although the

Referring now to **FIG. 2**, a single originating filer application is illustrated executing on workstation **221**. In an illustrative configuration, the originating filer application communicates with an intellectual property filing portal **210** implemented as an information service executing on a networked information server via a communication network, preferably a public, packet-switched data network with Virtual Private Networking (VPN) support. In the illustration of **FIG. 2**, two intellectual property filings are processed. Each is transacted via the network and intellectual property filing portal **210**; however the first is filed with European Patent Office **241** and with Japanese Patent Office **253** after being transacted with information systems **231** and **234** of respective European and Japanese associates. The second is transacted without an associate intermediary and is filed directly in the United States Patent and Trademark office acting as receiving office under the Patent Cooperation Treaty.

30 In some configurations, intellectual property filing portal **210** supplies or otherwise provides access to additional information that may facilitate selection, by a user at workstation **221**, of particular associates and target jurisdictions. For example,

intellectual property filing portal **210** may supply descriptive information for an associate as well as information such as summaries of national filing requirements and scope of protections available to facilitate evaluation by the user of foreign filing alternatives. Intellectual property filing portal **210** also supplies **(203)** fee and/or cost information descriptive of both target jurisdiction and associate fees and/or costs. Preferably, such information includes all fees and costs associated with filing a particular intellectual property application in the selected target jurisdiction. In some implementations, such information is parameterized with respect to particulars of the intellectual property filing, e.g., independent and total claim counts, page counts, designations (for regional or convention applications), applicant particulars, related matter particulars, subject matter categories, etc. In some implementations, estimates of prosecution costs may also be supplied.

In any case, based at least in part on information supplied by intellectual property filing portal **210**, the user of workstation **221** selects **(204)** a particular set of target jurisdictions and corresponding associates for the filing of a particular intellectual property application. For example, in the illustrative case, the user selects one of the two available associates for filing in the European Patent Office (EPO) and selects the only available associate for filing in the Japanese Patent Office (JPO). In response to the user's selection **(204)**, intellectual property filing portal **210** supplies **(205)** workstation **221** with target- and associate-specific requirements, including form documents, formal requirements and fee schedules for each of the selected associate and target jurisdiction combinations (in this case, for filing by associate A in the EPO and by associate B in the JPO).

Typically, formal documents are supplied in a computer readable encoding such that application software on workstation **221** may populate the formal documents with matter specific data (e.g., docket data, originating agent data, etc.) retrieved from a data store. As before, particular implementations may employ local and/or remote stores, network information services, file servers, and/or applications with callable interfaces such as database management systems, docket systems, document management systems, etc. in the role of data store **224**. In some configurations in accordance with the present invention, preparation of formal documents based on matter specific data is automated and occurs with little or no user interaction

subsequent to the selection (204) of target jurisdictions and corresponding associates. In other configurations, at least some manual entry of data into the form documents may be required. In either case, once formal documents are finalized (either automatically or with manual intervention), the user authorizes (206) the intellectual
5 property filings in the selected target jurisdictions using the selected associates.

Coincident with the authorization, application software executing on workstation 221 transmits (207) at least some of the filing documents to intellectual property filing portal 210. Preferably, all filing documents (including completed and digitally signed formal documents and technical documents retrieved from data store
10 224) are transmitted to intellectual property filing portal 210. However, in some configurations, some of the documents are printed (e.g., using printer 231), signed and transferred in hardcopy form to the corresponding associate. In situations where original signatures are required, an overnight courier may be employed. Alternatively, if consistent with the requirements of a particular target jurisdiction,
15 signed formal papers may be faxed (233), or scanned (232) and transmitted electronically, to the corresponding associate.

Intellectual property filing portal 210 receives (207) the user's authorization (including a fee authorization) and at least some of the filing documents from workstation 221 and, in turn, forwards (208A, 208B) a respective one (or ones) of the
20 filing documents to the appropriate associates for filing. Preferably, the forwarding is in computer readable form so that, if available in the corresponding target jurisdiction, filings can be made electronically by the corresponding associates. However, for at least some associates and presently for all patent offices, it is expected that filing documents will be transmitted in hard copy form. Intellectual property filing portal
25 210 maintains as part of its associate registrations a computer readable encoding of suitable transmission means.

In a representative configuration, target- and associate-specific requirements, including form documents, formal requirements and fee schedules supplied (205) by intellectual property filing portal 210 are previously supplied (251A, 251B) in
30 computer readable form by respective associates. Alternatively, such information may be maintained by the respective associates and retrieved on demand by intellectual property filing portal 210 in response a particular user's foreign filing

session. Suitable storage configurations for target- and associate-specific requirements data may vary from associate to associate.

FIG. 3 illustrates exemplary originating filer side data and control flows in an intellectual property filing configuration in accordance with an embodiment of the present invention. Specifically, after initiating a session with the filing portal, the originating filer side application performs, for each matter to be foreign filed, a selection of target jurisdiction and of associate. In each case, an encoding of target jurisdictions and associates is supplied by intellectual property filing portal **310**. Once target jurisdictions and associates are selected, the originating filer side application requests corresponding fee quotations. If the fees quoted by intellectual property filing portal **310** are approved, a fee transaction is authorized (e.g., by debit account, wire transfer, etc.) and preparation of formal document is begun. If not, the user may reselect target jurisdiction and/or associates. Assuming that fees are approved and that the fee transaction is successful, the intellectual property filing portal **210** sends, and the originating filer application receives, jurisdiction- and associate-specific forms and requirements for each of the selected target jurisdiction and associate combinations. As before, form documents and requirements are supplied in computer readable form to facilitate automated preparation of documents by the originating filer application.

Typically, the received form documents are populated with information from a local data store (e.g., docket data and priority document data store **324**). Because the form documents are target jurisdiction- and associate-specific, once completed (i.e., populated with data) and signed, they are suitable for filing with technical documents by the associate in the target jurisdiction. In some cases, particular formal requirements may affect technical documents as well. In such cases, the received computer readable encoding of formal requirements allows the originating filer-side application to perform minor formatting on patent application data (e.g., on a target-neutral computer readable encoding of a priority application). For example, margins and page numbering may be conformed to the formal requirements. In addition, for technical documents encoded in target neutral formats that encode metadata (e.g., as SGML/XML tags), section headings may be conformed to formal requirements as well. Alternatively, in some configurations, the originating filer-side application may

prompt the user to make changes manually in accordance with the received formal requirements. In any case, technical documents and, now completed, target jurisdiction- and associate-specific form documents are transmitted to intellectual property filing portal 310 for forwarding on to the selected associates for filing. As previously described, the entire set of filing documents is preferably encoded in computer readable form and transmitted electronically to intellectual property filing portal 310. However, for some target jurisdictions, at least some of the formal documents may need to be printed, signed and transmitted in hard copy form. Alternatively, electronically transmitted facsimiles may be suitable.

While the invention has been described with reference to various embodiments, it will be understood that these embodiments are illustrative and that the scope of the invention is not limited to them. Many variations, modifications, additions, and improvements are possible and will be appreciated by persons of ordinary skill in the art based on the description herein. For example, although patent intellectual property filings have been used to facilitate description of features, advantages and capabilities with respect to specific filing situations, realizations in accordance with the present invention may be configured to support other intellectual property filings (e.g., to secure trademarks or copyrights). Some realizations may support filings for multiple forms of intellectual property. Some realizations need not patent intellectual property filings. Also, although application filings have been described for illustrative purposes, embodiments in accordance with the present invention may be configured to include other filings such as during prosecution of an application or post issuance. Similarly, although foreign filings have been emphasized, some configurations in accordance with the present invention may be employed to facilitate filing networks wholly within a single country.

More generally, plural instances may be provided for components described herein as a single instance. Boundaries between various components, services, applications, and data stores are somewhat arbitrary, and particular operations are illustrated in the context of specific illustrative configurations. Other allocations of functionality are envisioned and may fall within the scope of claims that follow. Structures and functionality presented as discrete components in the exemplary configurations may be implemented as a combined structure or component.

Similarly, structures and functionality presented as a single component may be distributed amongst plural components. Persons of ordinary skill in the art will appreciate allocations of structures and functionality suitable to particular implementation environments, interface constraints and desired product and/or service configurations. These and other variations, modifications, additions, and improvements may fall within the scope of the invention as defined in the claims that follow.

WHAT IS CLAIMED IS:

1 1. A method of operating an information service to facilitate preparation of
2 intellectual property documents for filing in one or more of plural target jurisdictions,
3 the method comprising:
4 registering for each of plural associates, at least one target jurisdiction and a
5 computer readable encoding of target jurisdiction- and associate-
6 specific form documents therefor; and
7 distributing the registered target jurisdiction- and associate-specific form
8 documents to an originating filer for use in preparation of the
9 intellectual property documents for filing by respective of the
10 associates.

1 2. The method of claim 1,
2 wherein the distribution is responsive to selection by the originating filer of
3 one or more of the target jurisdictions and, for each selected target
4 jurisdictions, a respective one of the associates.

1 3. The method of claim 1,
2 wherein the distribution includes periodic supply to the originating filer of the
3 computer readable encoding of target jurisdiction- and associate-
4 specific form documents for each of the associates.

1 4. The method of claim 1,
2 wherein the distribution is encoded by or transmitted in at least one computer
3 readable medium selected from the set of a disk, CD-ROM, tape or
4 other magnetic, optical, or electronic storage medium and a network,
5 wireline, wireless or other communications medium.

1 5. An information system for transacting an intellectual property filing with
2 plural targets therefor, the information system comprising:
3 a network including an originating node and plural target nodes, the target
4 nodes corresponding to associates licensed or otherwise authorized to

5 make intellectual property filings in one or more target jurisdictions;
6 and
7 an intellectual property filing portal coupled by the network to the originating
8 and target nodes, the intellectual property filing portal responsive to a
9 selection at the originating node of at least one target jurisdiction and
10 associate for the intellectual property filing, supplying the originating
11 node with particularized requirements of the selected at least one target
12 jurisdiction and associate,
13 the intellectual property filing portal further responsive to receipt via the
14 network of one or more intellectual property filings prepared in
15 accordance with the particularized requirements of the selected target
16 jurisdictions and associates, supplying corresponding of the target
17 nodes with respective portions of the received intellectual property
18 filings for filing by respective of the selected associates in respective
19 of the selected target jurisdictions.

1 6. The information system of claim 5,
2 wherein the selection at the originating node includes selection of two or more
3 target jurisdictions.

1 7. The information system of claim 5, wherein for a particular selected target
2 jurisdiction and associate combination, the particularized requirements include:
3 formatting requirements for filing of the intellectual property filing in the
4 particular target jurisdiction; and
5 an encoding of at least one filing paper required by the particular target
6 jurisdiction.

1 8. The information system of claim 5, wherein for a particular selected target
2 jurisdiction and associate combination, the particularized requirements include:
3 an enumeration of data fields for which values specific to the intellectual
4 property filing are to be supplied from the originating node to allow
5 preparation of documents for filing in the selected target jurisdiction by
6 the selected associate.

1 9. The information system of claim 5, wherein for a particular selected target
2 jurisdiction and associate combination, the particularized requirements include:
3 an encoding of at least one paper required by the particular selected associate.

1 10. The information system of claim 5,
2 wherein the originating node includes a computer of a managing attorney or
3 intellectual property owner; and
4 wherein the target nodes include computers of respective associates
5 configured to electronically receive at least a portion of the intellectual
6 property filing from the managing attorney or intellectual property
7 owner via the intellectual property filing portal.

1 11. The information system of claim 5,
2 wherein the originating node includes a web browser;
3 wherein in the intellectual property filing portal includes a web server; and
4 wherein the selection of at least one target jurisdiction and associate, the
5 supplying of the particularized requirements, and the receiving of one
6 or more intellectual property filings prepared in accordance with the
7 particularized requirements are achieved, at least in part, using internet
8 protocol traffic between the web browser and the web server.

1 12. The information system of claim 5,
2 wherein the intellectual property filing portal is further responsive to
3 registration by the associates of their particularized requirements for
4 target jurisdictions;
5 wherein the supplied particularized requirements include those registered by
6 the selected associates.

1 13. The information system of claim 5,
2 wherein the network includes one or more of a packet switched network
3 segment, a circuit switched network segment, a public network
4 segment, a private network segment, a public switched
5 telecommunications network segment, and a virtual private network.

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1 14. The information system of claim 5, wherein the received intellectual
2 property filings include one or more of:
3 a computer readable encoding of a technical document including specification
4 and claims formatted in accordance with the supplied particularized
5 requirements of at least a first of the selected target jurisdictions; and
6 a computer readable encoding of information for completion of a filing paper,
7 request for examination or transmittal in accordance with the supplied
8 particularized requirements of the first selected target jurisdiction and
9 the selected associate therefor.

1 15. A method of operating an intellectual property filing portal, the method
2 comprising:
3 servicing intellectual property filing transactions using a network accessible
4 information service;
5 responsive to a selection by a user of a target jurisdiction and associate,
6 supplying the user, via the network, with a computer readable encoding
7 of one or more form documents, wherein the form documents are
8 specific to the target jurisdiction and associate; and
9 receiving from the user, via the network, at least a portion of a set of filing
10 documents, and forwarding same to the selected associate for filing in
11 the selected target jurisdiction.

1 16. The method of claim 15, further comprising:
2 registering associates for the making of intellectual property filings in
3 respective target jurisdictions, the registering including updating a data
4 store with computer readable encodings of form documents particular
5 to an associate and one or more target jurisdictions.

1 17. The method of claim 15, further comprising:
2 quoting fees associated with both the target jurisdiction and the associate,
3 wherein the supplying of the computer readable encoding of one or more form
4 documents is contingent upon authorization by the user of the quoted
5 fees.

5 in response to the selections, supplying target jurisdiction and associate-
6 specific documents for completion;
7 receiving the completed target jurisdiction and associate-specific documents
8 and technical documents; and
9 forwarding the technical documents, together with respective of the target
10 jurisdiction and associate-specific documents, to each of the selected
11 associates for filing in respective of the selected target jurisdictions.

1 23. The method of claim 22, further comprising:
2 quoting fees associated with the selected target jurisdictions and associates,
3 wherein the supplying of target jurisdiction and associate-specific documents
4 for completion is contingent upon authorization by the user of the
5 quoted fees.

1 24. The computer implemented method of claim 22, further comprising:
2 populating the target jurisdiction and associate-specific documents with matter
3 specific information.

1 25. A computer implemented method for initiating filing of one or more
2 intellectual property related documents, said method comprising:
3 selecting one or more target jurisdictions from amongst a set of supported
4 jurisdictions; and
5 for each selected target jurisdiction,
6 obtaining a computer readable encoding of one or more form
7 documents, wherein the form documents are specific to the
8 target jurisdiction and to a respective associate therefor; and
9 supplying at least a portion of a set of filing documents, for transfer to
10 the respective associate for filing in the selected target
11 jurisdiction.

1 26. The computer implemented method of claim 25, further comprising for
2 each selected target jurisdiction:
3 completing the one or more form documents in accordance with matter
4 specific information retrieved from a data store.

1 39. The method of claim 33,
2 wherein the one or more intellectual property related documents include at
3 least one of an intellectual property application, an amendment, a
4 transmittal paper, an appointment of agent, and a legalization paper.

1 40. The method of claim 33, further comprising:
2 representing the intellectual property application data in a target-neutral
3 format prior to the transforming thereof.

1 41. A computer implemented method of preparing one or more intellectual
2 property filings, said method comprising:
3 receiving a selection of one or more target jurisdictions from an originating
4 computer system;
5 responsive to the selection, supplying the originating computer system with a
6 computer readable encoding of filing requirements for the selected
7 target jurisdictions; and
8 receiving in computer readable form, at least one document prepared at the
9 originating computer system in accordance with the computer readable
10 encoding of filing requirements.

1 42. The computer implemented method of claim 41, further comprising:
2 for each target jurisdiction selection, also receiving a selection of attorney or
3 agent,
4 wherein the computer readable encoding of filing requirements includes
5 attorney- or agent- specific requirements.

1 43. The computer implemented method of claim 41, further comprising:
2 transmitting, for at least one of the selected target jurisdictions, a computer
3 readable encoding of a technical document for filing in the at least one
4 selected target jurisdiction.

1 44. An information system for preparing intellectual property filings for at
2 least one target in accordance with requirements therefor, the information system
3 comprising:

4 a selection facility by which a user thereof selects the at least one target;
5 a retrieval interface to intellectual property application data stored;
6 a retrieval interface to target requirement data;
7 a filing preparation facility responsive to the selection facility to
8 transform the intellectual property application data into a target-
9 specific intellectual property application filing format in
10 accordance with the target requirement data; and
11 prepare at least one additional document in accordance with the
12 intellectual property application and target requirement data
13 for each target selected by the user.

1 45. The information system of claim 44, further comprising:

2 a communications interface for transmitting the transformed intellectual
3 property application data and the at least one additional document for
4 filing.

1 46. The information system of claim 44, further comprising:

2 a data store, responsive to the retrieval interface, for storing the intellectual
3 property application data.

1 47. The information system of claim 44,

2 wherein the target includes a target jurisdiction or convention; and
3 wherein the target requirement data includes filing requirements for the target
4 jurisdiction or convention.

1 48. The information system of claim 47,

2 wherein the target further includes an attorney or agent; and
3 wherein the target requirement data further includes attorney- or agent-specific
4 requirements.

1 49. The information system of claim 44,
2 wherein the intellectual property application data includes a priority
3 application corresponding to a previously filed intellectual property
4 application.

1 50. The information system of claim 44,
2 wherein the target-specific intellectual property application filing format is an
3 electronic format for transmission to the target.

1 51. The information system of claim 44,
2 embodied as a client application executable on a originating computer and
3 implementing:
4 the selection facility,
5 the retrieval interface to intellectual property application data,
6 the retrieval interface to target requirement data; and
7 the translation facility
8 and including a communications interface to a server application; and
9 wherein at least the target requirement data is hosted by the server application.

1 52. A computer program product encoded in a computer readable medium,
2 the computer program product comprising:
3 selection code executable to select one or more target jurisdictions and
4 respective associates from amongst a set of target jurisdictions and
5 associates therefor;
6 retrieval code executable to retrieve, in accordance with the selection, a
7 computer readable encoding of target jurisdiction- and associate-
8 specific filing requirements;
9 document preparation code executable to prepare one or more target
10 jurisdiction- and associate-specific documents in accordance with the
11 retrieved requirements; and
12 filing initiation code executable to transmit the prepared documents for filing
13 by the selected one or more associates in the selected one or more
14 target jurisdictions.

1 53. The computer program product of claim 52,
2 wherein the selection code, the retrieval code, the document preparation code
3 and filing initiation code are all executable on a same processor.

1 54. A method of making a computer readable encoding of one or more target
2 jurisdiction- and associate-specific form documents, the method comprising:
3 maintaining a data store of target jurisdiction- and associate-specific form
4 documents for transacting an intellectual property filing in the target
5 jurisdictions using respective of the associates;
6 encoding, based on contents of the data store, an enumeration, for transmission
7 to a computer, of at least a subset of the target jurisdictions and
8 respective of the associates therefor;
9 receiving a selection of one or more of the target jurisdictions and respective
10 associates;
11 retrieving, based on the selection, corresponding of the target jurisdiction- and
12 associate-specific form documents; and
13 encoding as a response to the selection for transmission to the computer, the
14 retrieved target jurisdiction- and associate-specific form documents.

1 55. The method of claim 54, further comprising:
2 registering individual of the associates for fulfillment of intellectual property
3 filings in respective of the target jurisdictions.

1 56. An intellectual property filing preparation system comprising:
2 means for selecting one or more target jurisdictions and respective associates;
3 means for obtaining form documents specific to each selected target
4 jurisdiction and associate;
5 means for completing the obtained form documents in accordance with matter
6 specific data; and
7 means for transmitting a technical document and respective of the completed
8 form documents for filing by the selected associates.

**SYSTEMS AND METHODS FOR PREPARATION OF AN INTELLECTUAL
PROPERTY FILING IN ACCORDANCE WITH JURISDICTION- AND/OR
AGENT-SPECIFIC REQUIREMENTS**

Eugene M. Lee

5 ABSTRACT OF THE DISCLOSURE

 A facility has been developed whereby an applicant (or his representative)
may file corresponding applications in multiple jurisdictions using multiple associates
while automating the preparation of filings in accordance with jurisdiction- and/or
associate-specific requirements and/or procedures. An intellectual property filing
10 portal or hub is employed, which in some realizations is hosted on public, packet
switched data network and communicates with both applicants (or representatives)
and associates. The intellectual property filing portal facilitates selection, by
applicants (or representatives) of particular jurisdictions and associates based at least
in part on fee quotations in accordance with particulars of an intellectual property
15 filing and in accordance with fee structures of the particular jurisdictions and foreign
associates. In addition, the intellectual property filing portal facilitates registration of
associate- and jurisdiction-specific form documents and fee schedules for at least
partially automated preparation of formal documents.

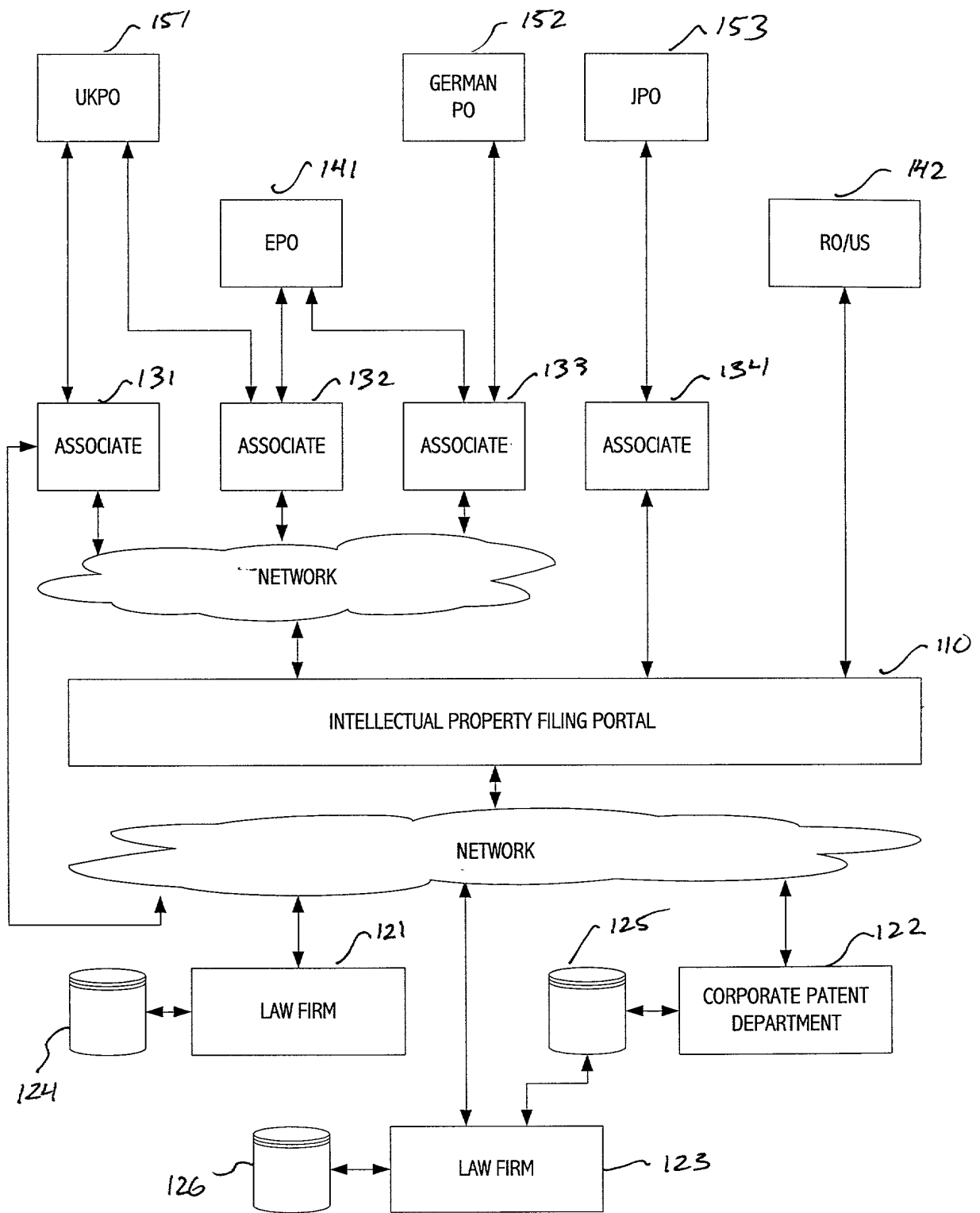


FIG. 1

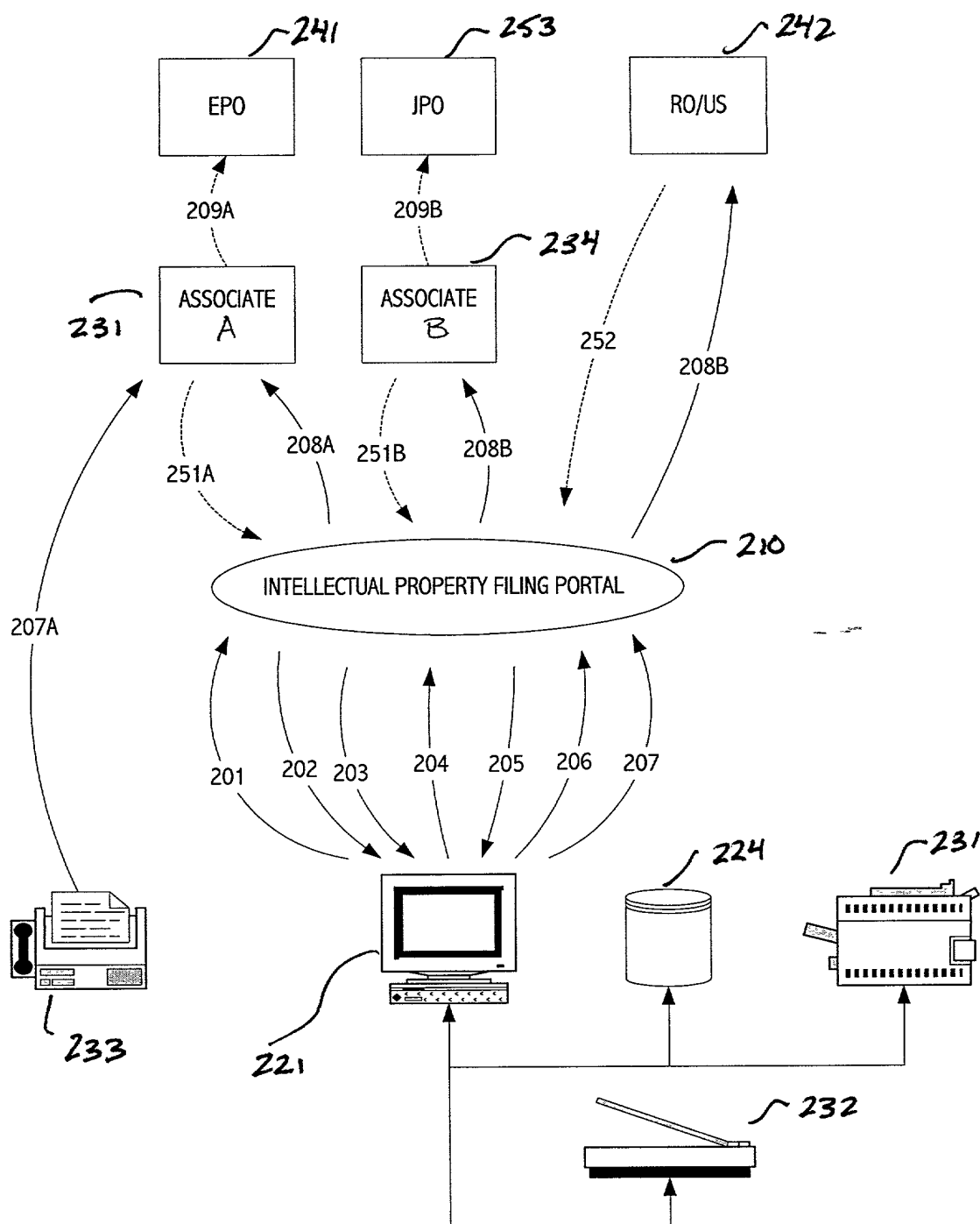
[illegible]

FIG. 2

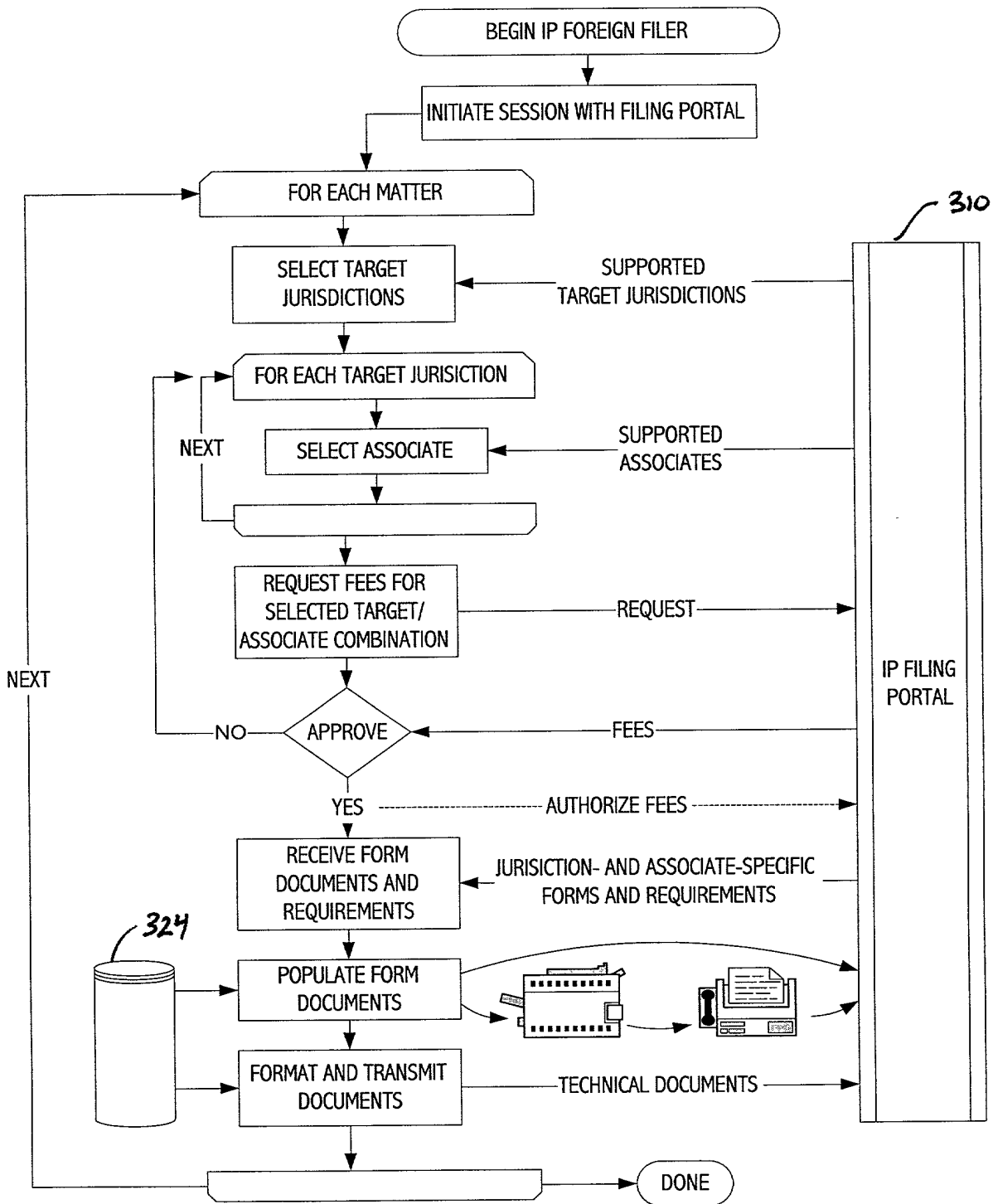


FIG. 3

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of subject matter (process, machine, manufacture, or composition of matter, or an improvement thereof) which is claimed and for which a patent is sought by way of the application entitled

SYSTEMS AND METHODS FOR PREPARATION OF AN INTELLECTUAL PROPERTY FILING IN ACCORDANCE WITH JURISDICTION- AND/OR AGENT-SPECIFIC REQUIREMENTS

which (check) ☒ is attached hereto.
☐ and is amended by the Preliminary Amendment attached hereto.
☐ was filed on _____ as Application Serial No. _____
☐ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information, which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) of any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

Prior Foreign Application(s)			Priority Claimed	
Number	Country	Day/Month/Year Filed	Yes	No
N/A				

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below:

Provisional Application Number	Filing Date
N/A	

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information, which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56, which became available between the filing date of the prior application(s) and the national or PCT international filing date of this application:

Application Serial No.	Filing Date	Status (patented, pending, abandoned)
N/A		

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith:

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I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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